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PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>NEW UTILITY PATENT APPLICATION TRANSMITTAL</b> <i>(only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket Number	22920-06460
	First Named Inventor	Xiaodong Huang
	Title	QUANTUM DOT VERTICAL CAVITY SURFACE EMITTING LASER
	Express Mail Label No.	EL 951616269US

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)	7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	8. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
3. <input checked="" type="checkbox"/> Specification <span style="float: right;">Total Pages <input type="text" value="53"/></span> <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Descriptive Title of the Invention</li><li><input checked="" type="checkbox"/> Cross Reference(s) to Related Case(s)</li><li><input checked="" type="checkbox"/> Statement Regarding Fed sponsored R &amp; D</li><li><input checked="" type="checkbox"/> Background of the Invention</li><li><input checked="" type="checkbox"/> Brief Summary of the Invention</li><li><input checked="" type="checkbox"/> Brief Description of the Drawing(s)</li><li><input checked="" type="checkbox"/> Detailed Description</li><li><input checked="" type="checkbox"/> Claim or Claims</li><li><input checked="" type="checkbox"/> Abstract of the Disclosure</li></ul>	9. <input checked="" type="checkbox"/> Power of Attorney or Authorization of Agent
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. <span style="float: right;">Total Sheets <input type="text" value="28"/></span> 113)	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement
5. Oath or Declaration	11. <input type="checkbox"/> Preliminary Amendment
a. <input checked="" type="checkbox"/> New Declaration <span style="float: right;">Total Pages <input type="text" value="2"/></span> <input type="checkbox"/> Executed (original or copy)	12. <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Citation(s)
b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i>	13. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	14. <input checked="" type="checkbox"/> Return Postcard
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	15. <input type="checkbox"/>
	16. <input type="checkbox"/>
	17. <input type="checkbox"/>

<b>ADDRESS TO:</b>  Box Patent Application Commissioner for Patents Washington, D.C. 20231	
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18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_/\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

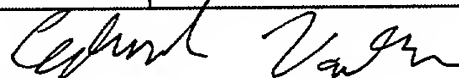
<input checked="" type="checkbox"/> Customer Number and Bar Code Label	 <b>00758</b>
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Name (Print/Type)	Edward A. Van Gieson	Registration No. (Attorney/Agent)	44,386
Signature		Date	March 1, 2002

0002/PTO(modified) Rev. 10/2001	U.S. Department of Commerce Patent and Trademark Office	<b>Complete if Known</b>	
<b>FEE TRANSMITTAL</b>  <b>TOTAL AMOUNT OF PAYMENT</b> Subtotal (1) + Subtotal (2) + Subtotal (3) = <b>(\$ 625.00)</b>		Application Number	Unassigned
		Filing Date	March 1, 2002
		First Named Inventor	Xiaodong Huang
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
		Attorney Docket Number	22920-06460

METHOD OF PAYMENT		FEE CALCULATION (continued)			
<b>1. The Commissioner is hereby authorized to:</b>  <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.  <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †  <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27  Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP  A Duplicate Copy of this authorization is attached  <b>2. <input checked="" type="checkbox"/> Payment Enclosed:</b> <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other		<b>3. ADDITIONAL FEES</b>			
		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
		105/\$130	205/\$65	Surcharge - late filing fee or oath	
		127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
		147/\$2,520	147/\$2,520	For filing a request for reexamination	
		115/\$110	215/\$55	Extension for response within first month†	
		116/\$400	216/\$200	Extension for response within second month†	
		117/\$920	217/\$460	Extension for response within third month†	
		118/\$1,440	218/\$720	Extension for response within fourth month†	
		128/\$1,960	228/\$980	Extension for response within fifth month†	
		119/\$320	219/\$160	Notice of Appeal	
		141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	
		142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	
		143/\$460	243/\$230	Design Issue Fee	
		122/\$130	122/\$130	Petitions to the Commissioner	
		126/\$180	126/\$180	Submission of Information Disclosure Statement	
		179/\$740	279/\$370	Request for Continued Examination (RCE)	
		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
		146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	
		149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	
		Other fee (specify):			
		Other fee (specify):			
		<b>SUBTOTAL (3)</b>			<b>(\$ 0)</b>
<b>1. FILING FEE</b>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
		101/\$740	201/\$370	Utility Filing	370
		106/\$330	206/\$165	Design Filing	
		108/\$740	208/\$370	Reissue	
		114/\$160	214/\$80	Provisional Filing	
		<b>SUBTOTAL (1)</b>			<b>(\$ 370)</b>
<b>2. CLAIMS</b>		Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	
		103/\$18	203/\$9	Claims in excess of 20	
		102/\$84	202/\$42	Independent claims in excess of 3	
		104/\$280	204/\$140	Multiple dependent claim	
		109/\$84	209/\$42	Reissue independent claims over original patent	
		110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	
		<b>SUBTOTAL (2)</b>			<b>(\$ 255)</b>
		* Subtract the greater number of Col. 2			
		** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3			

(Col. 1)		(Col. 2)		(Col. 3)					
For	No. of Existing Claims	Highest No. Previously Paid For		Extra**		Fee		Fee Due	
TOTAL	39	minus*	20 or 0	=	19	x	9	=	171
INDEP	5	minus*	3 or 0	=	2	x	42	=	84
[ ] First presentation of multiple dependent claim									

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Typed or Printed Name	Edward A. Van Gieson	Reg. Number	44,386
Signature		Date	March 1, 2002

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby